

04/30/01  
J1055 U.S. PTO

05 - 02 - 01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	K35A0766
First Inventor	ALAN D. DAVIE
Title	TECHNIQUES FOR DYNAMICALLY LOADING MODULES FOR DEVICES DISCOVERED IN A STORAGE NETWORK
Express Mail Label No.	EL763518440US

04/30/01

09/846806

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages 36]
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [ Total Sheets 5 ]
5. Oath or Declaration [ Total Pages   ]
- a.  Newly executed (original or copy)
- b.  Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application. see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of (when there is an assignee)  Attorney
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_ / \_\_\_\_\_

Prior application information.

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	26332	<input type="checkbox"/> or <input type="checkbox"/> Correspondence address below
(Insert Customer No. or attach bar code label here)		
Name		
Address		
City	State	Zip Code
Country	Telephone	Fax

Name (Print/Type) Milad G. Shara Registration No. (Attorney/Agent) 39,367

Signature  Date 05-30-01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 2,138.00)

## Complete if Known

Application Number	UNKNOWN
Filing Date	HEREWITH
First Named Inventor	ALAN D. DAVIE
Examiner Name	UNKNOWN
Group Art Unit	UNKNOWN
Attorney Docket No.	K35A0766

METHOD OF PAYMENT				FEE CALCULATION (continued)																																																																																																																																																																																																		
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <b>23-1209</b></p> <p>Deposit Account Name <b>WESTERN DIGITAL CORPORATION</b></p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27</p>				<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th></th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65 Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25 Surcharge - late provisional filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130 Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520 For filing a request for ex parte reexamination</td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920* Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840* Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55 Extension for reply within first month</td></tr> <tr><td>116</td><td>390</td><td>216</td><td>195 Extension for reply within second month</td></tr> <tr><td>117</td><td>890</td><td>217</td><td>445 Extension for reply within third month</td></tr> <tr><td>118</td><td>1,390</td><td>218</td><td>695 Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,890</td><td>228</td><td>945 Extension for reply within fifth month</td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155 Notice of Appeal</td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155 Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135 Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510 Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55 Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620 Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620 Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220 Design issue fee</td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300 Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130 Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50 Processing fee under 37 CFR 1.17(q)</td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180 Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40 Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355 Filing a submission after final rejection (37 CFR § 1.129(a))</td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355 For each additional invention to be examined (37 CFR § 1.129(b))</td></tr> <tr><td>179</td><td>710</td><td>279</td><td>355 Request for Continued Examination (RCE)</td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900 Request for expedited examination of a design application</td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr><td colspan="4">*Reduced by Basic Filing Fee Paid</td></tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL (1) (\$ 710.00)</td> <td colspan="4" style="text-align: right;">SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="8"> <p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> <tr> <th>Independent Claims</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Multiple Dependent</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>46</td> <td>-20** = 26</td> <td>X 18.00 =</td> <td>468.00</td> </tr> <tr> <td>15</td> <td>- 3** = 12</td> <td>X 80.00 =</td> <td>960.00</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Large Entity Small Entity</p> <table border="1"> <thead> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9 Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40 Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135 Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40 ** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <p>SUBTOTAL (2) (\$ 1,428.00)</p> </td> </tr> </tbody> </table>				Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		105	130	205	65 Surcharge - late filing fee or oath	127	50	227	25 Surcharge - late provisional filing fee or cover sheet	139	130	139	130 Non-English specification	147	2,520	147	2,520 For filing a request for ex parte reexamination	112	920*	112	920* Requesting publication of SIR prior to Examiner action	113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	115	110	215	55 Extension for reply within first month	116	390	216	195 Extension for reply within second month	117	890	217	445 Extension for reply within third month	118	1,390	218	695 Extension for reply within fourth month	128	1,890	228	945 Extension for reply within fifth month	119	310	219	155 Notice of Appeal	120	310	220	155 Filing a brief in support of an appeal	121	270	221	135 Request for oral hearing	138	1,510	138	1,510 Petition to institute a public use proceeding	140	110	240	55 Petition to revive - unavoidable	141	1,240	241	620 Petition to revive - unintentional	142	1,240	242	620 Utility issue fee (or reissue)	143	440	243	220 Design issue fee	144	600	244	300 Plant issue fee	122	130	122	130 Petitions to the Commissioner	123	50	123	50 Processing fee under 37 CFR 1.17(q)	126	180	126	180 Submission of Information Disclosure Stmt	581	40	581	40 Recording each patent assignment per property (times number of properties)	146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))	149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))	179	710	279	355 Request for Continued Examination (RCE)	169	900	169	900 Request for expedited examination of a design application	Other fee (specify) _____				*Reduced by Basic Filing Fee Paid				SUBTOTAL (1) (\$ 710.00)				SUBTOTAL (3) (\$)				<p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> <tr> <th>Independent Claims</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Multiple Dependent</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>46</td> <td>-20** = 26</td> <td>X 18.00 =</td> <td>468.00</td> </tr> <tr> <td>15</td> <td>- 3** = 12</td> <td>X 80.00 =</td> <td>960.00</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Large Entity Small Entity</p> <table border="1"> <thead> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9 Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40 Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135 Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40 ** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <p>SUBTOTAL (2) (\$ 1,428.00)</p>								Total Claims	Extra Claims	Fee from below	Fee Paid	Independent Claims				Multiple Dependent				46	-20** = 26	X 18.00 =	468.00	15	- 3** = 12	X 80.00 =	960.00					Fee Code (\$)	Fee Code (\$)	Fee Description	103	18	203	9 Claims in excess of 20	102	80	202	40 Independent claims in excess of 3	104	270	204	135 Multiple dependent claim, if not paid	109	80	209	40 ** Reissue independent claims over original patent	110	18	210	9 ** Reissue claims in excess of 20 and over original patent
Large Entity	Small Entity	Fee Description	Fee Paid																																																																																																																																																																																																			
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)																																																																																																																																																																																																				
105	130	205	65 Surcharge - late filing fee or oath																																																																																																																																																																																																			
127	50	227	25 Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																			
139	130	139	130 Non-English specification																																																																																																																																																																																																			
147	2,520	147	2,520 For filing a request for ex parte reexamination																																																																																																																																																																																																			
112	920*	112	920* Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																			
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action																																																																																																																																																																																																			
115	110	215	55 Extension for reply within first month																																																																																																																																																																																																			
116	390	216	195 Extension for reply within second month																																																																																																																																																																																																			
117	890	217	445 Extension for reply within third month																																																																																																																																																																																																			
118	1,390	218	695 Extension for reply within fourth month																																																																																																																																																																																																			
128	1,890	228	945 Extension for reply within fifth month																																																																																																																																																																																																			
119	310	219	155 Notice of Appeal																																																																																																																																																																																																			
120	310	220	155 Filing a brief in support of an appeal																																																																																																																																																																																																			
121	270	221	135 Request for oral hearing																																																																																																																																																																																																			
138	1,510	138	1,510 Petition to institute a public use proceeding																																																																																																																																																																																																			
140	110	240	55 Petition to revive - unavoidable																																																																																																																																																																																																			
141	1,240	241	620 Petition to revive - unintentional																																																																																																																																																																																																			
142	1,240	242	620 Utility issue fee (or reissue)																																																																																																																																																																																																			
143	440	243	220 Design issue fee																																																																																																																																																																																																			
144	600	244	300 Plant issue fee																																																																																																																																																																																																			
122	130	122	130 Petitions to the Commissioner																																																																																																																																																																																																			
123	50	123	50 Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																																			
126	180	126	180 Submission of Information Disclosure Stmt																																																																																																																																																																																																			
581	40	581	40 Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																			
146	710	246	355 Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																			
149	710	249	355 For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																			
179	710	279	355 Request for Continued Examination (RCE)																																																																																																																																																																																																			
169	900	169	900 Request for expedited examination of a design application																																																																																																																																																																																																			
Other fee (specify) _____																																																																																																																																																																																																						
*Reduced by Basic Filing Fee Paid																																																																																																																																																																																																						
SUBTOTAL (1) (\$ 710.00)				SUBTOTAL (3) (\$)																																																																																																																																																																																																		
<p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> <tr> <th>Independent Claims</th> <th></th> <th></th> <th></th> </tr> <tr> <th>Multiple Dependent</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr> <td>46</td> <td>-20** = 26</td> <td>X 18.00 =</td> <td>468.00</td> </tr> <tr> <td>15</td> <td>- 3** = 12</td> <td>X 80.00 =</td> <td>960.00</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Large Entity Small Entity</p> <table border="1"> <thead> <tr> <th>Fee Code (\$)</th> <th>Fee Code (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9 Claims in excess of 20</td></tr> <tr><td>102</td><td>80</td><td>202</td><td>40 Independent claims in excess of 3</td></tr> <tr><td>104</td><td>270</td><td>204</td><td>135 Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>80</td><td>209</td><td>40 ** Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9 ** Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table> <p>SUBTOTAL (2) (\$ 1,428.00)</p>								Total Claims	Extra Claims	Fee from below	Fee Paid	Independent Claims				Multiple Dependent				46	-20** = 26	X 18.00 =	468.00	15	- 3** = 12	X 80.00 =	960.00					Fee Code (\$)	Fee Code (\$)	Fee Description	103	18	203	9 Claims in excess of 20	102	80	202	40 Independent claims in excess of 3	104	270	204	135 Multiple dependent claim, if not paid	109	80	209	40 ** Reissue independent claims over original patent	110	18	210	9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																																
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																			
Independent Claims																																																																																																																																																																																																						
Multiple Dependent																																																																																																																																																																																																						
46	-20** = 26	X 18.00 =	468.00																																																																																																																																																																																																			
15	- 3** = 12	X 80.00 =	960.00																																																																																																																																																																																																			
Fee Code (\$)	Fee Code (\$)	Fee Description																																																																																																																																																																																																				
103	18	203	9 Claims in excess of 20																																																																																																																																																																																																			
102	80	202	40 Independent claims in excess of 3																																																																																																																																																																																																			
104	270	204	135 Multiple dependent claim, if not paid																																																																																																																																																																																																			
109	80	209	40 ** Reissue independent claims over original patent																																																																																																																																																																																																			
110	18	210	9 ** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																			

\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY		Complete if applicable		
Name (Print/Type)	Milad G. Shara	Registration No. (Attorney/Agent)	39, 367	Telephone 949-672-7814
Signature				Date 4-30-01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. 122(b)(2)(B)(i)**

First Named Inventor	ALAN D. DAVIE
Title	TECHNIQUES FOR DYNAMICALLY LOADING MODULES FOR DEVICES DISCOVERED IN A STORAGE NETWORK
Atty Docket Number	K35A0766

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

4-30-01

Date



Signature

Milad G. Shara, Reg. No. 39,367

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.